



I hereby certify that this correspondence is being filed by facsimile and a confirmation copy being deposited the United States Postal Service as first class mail in an envelope with sufficient postage and addressed to the Commissioner of Patents and Trademarks, Washington, D.C. 20231 on the date indicated below.

Date: May 20, 2002

Signed: P.K.T.  
Peter K. Trzyha (Reg. No. 32,601)

PATENT

Paper No.

File: NewMrktP98-1

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Inventor : Anthony F. Herbst and Wayne F. Perg  
Serial No. : 09/197,908  
Filed : November 23, 1998  
For : DIGITAL COMPUTER SYSTEM AND METHODS FOR MANAGING AN AUCTION MARKET FOR PREFERRED-RETURN SECURITIES  
Group Art Unit : 2162 324  
Examiner : Retta Yehdega AKBN

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JUN 11 2002

Honorable Commissioner of Patents  
and Trademarks  
Washington, D.C. 20231

**Technology Center 2100**

**RESPONSE**

SIR:

In response to the Office Action dated November 20, 2001, the undersigned contacted SPE Vincent Millan for an interview. In the interview it was agreed that there was no reason to withhold allowance based on the record and that the undersigned would receive confirming documentation. However, no such documentation has been received. If a filing is deemed necessary to preserve the pendency of the case (to ensure that the case does not go abandoned for failure to establish a clean paper trail), then it is respectfully requested that this be construed as a Petition for Extension of Time for three months and a Request for Reconsideration for the reasons discussed in the interview.

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**GROUP 360C**

The application is believed to be in condition for allowance, and favorable action is requested. If the prosecution of this case can be in any way advanced by a telephone discussion, the Examiner is requested to call the undersigned at (312) 240-0824.

The Commissioner is hereby authorized to charge any fees associated with the above-identified patent application or credit any overcharges to Deposit Account No. 50-0235. Please direct all correspondence to the undersigned at the address given below.

Respectfully submitted,

Date: May 20, 2002



Peter K. Trzyna  
(Reg. No. 32,601)

P.O. Box 7131  
Chicago, IL 60680-7131  
(312) 240-0824



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Date: May 20, 2002

Signed:

Peter K. Trzyna (Reg. No. 32,601)

PATENT

Paper No.

File: Newmrkt-P1-98

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Inventor	:	Anthony F. Herbst and Wayne F. Perg	<b>RECEIVED</b>
Serial No.	:	09/197,908	JUN 27 2002
Filed	:	November 23, 1998	<b>GROUP 3600</b>
For	:	DIGITAL COMPUTER SYSTEM AND METHODS FOR MANAGING AN AUCTION MARKET FOR PREFERRED- RETURN SECURITIES	
Group Art Unit	:	2761	<b>RECEIVED</b>
Examiner	:	Retta Yehdaga	JUN 11 2002

Honorable Commissioner of Patents  
and Trademarks  
Washington, D.C. 20231

**Technology Center 2100**

**TRANSMITTAL LETTER**

SIR:

Please enter the following enclosed documents in the above-identified patent application.

1. Response.

The Commissioner is hereby authorized to charge any fees associated with the above-identified patent application or credit any overcharges to Deposit Account No. 50-0235.

Please direct all correspondence to the undersigned at the address given below.

Respectfully submitted,

Peter K. Trzyna  
(Reg. No. 32,601)

Date: May 20, 2002

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Chicago, IL 60680-7131  
(312) 240-0824

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JUN 19 2002

**GROUP 3600**